#### Edgar Filing: PIPER JAFFRAY COMPANIES - Form 3

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Form 3

February 01, 2016

# FORM 3

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement PIPER JAFFRAY COMPANIES [PJC] **Â** Smith Thomas Gregory (Month/Day/Year) 01/28/2016 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 800 NICOLLET MALL (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director \_X\_ Form filed by One Reporting \_X\_\_ Officer Other Person MINNEAPOLIS, MNÂ 55402 (give title below) (specify below) Form filed by More than One Chief Strategy Officer Reporting Person (City) (State) (Zip) **Table I - Non-Derivative Securities Beneficially Owned** 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common Stock 12,392 Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

 $Table\ II\ -\ Derivative\ Securities\ Beneficially\ Owned\ (\textit{e.g.},\ puts,\ calls,\ warrants,\ options,\ convertible\ securities)$ 

1. Title of Derivative Security	2. Date Exer	rcisable and	3. Title and	Amount of	4.	5.	6. Nature of Indirect
(Instr. 4)	Expiration Date (Month/Day/Year)		Securities Underlying		Conversion	Ownership	Beneficial
			Derivative Security		or Exercise	Form of	Ownership
			(Instr. 4)		Price of	Derivative	(Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of	Derivative	Security:	
					Security	Direct (D)	
						or Indirect	

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				Shares		(I) (Instr. 5)	
Performance Stock Unit	(1)	05/14/2016	Common Stock	4,691	\$ <u>(1)</u>	D	Â
Performance Stock Unit	(1)	05/14/2017	Common Stock	4,270	\$ <u>(1)</u>	D	Â
Performance Stock Unit	(1)	05/14/2018	Common Stock	4,581	\$ <u>(1)</u>	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
reporting of their reality requires	Director	10% Owner	Officer	Other		
Smith Thomas Gregory 800 NICOLLET MALL MINNEAPOLIS Â MNÂ 55402	Â	Â	Chief Strategy Officer	Â		

# **Signatures**

John W. Geelan on behalf of Thomas G.
Smith
02/01/2016

\*\*Signature of Reporting Person Date

### **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations, See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Each performance share unit represents a contingent right to receive one share of PJC common stock. The performance share unit will (1) vest based on attaining certain levels of shareholder return, with 50% based on relative total shareholder return within a group of peer companies and 50% based on absolute shareholder return, both as measured three years from the grant date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

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